

OFFICE OF THE CHIEF OF POLICE

SPECIAL ORDER NO. 5

April 6, 2010

SUBJECT: EXTERNAL (NON-DEPARTMENT) AUDITS/INSPECTIONS - ESTABLISHED

PURPOSE: The Department has experienced a substantial increase in the number of external (non-Department) audits/inspections requested by outside agencies. External audits/inspections (e.g., compliance checks, assessments, evaluations, etc.) are requested by entities, such as the Federal Bureau of Investigation (FBI), Department of Justice (DOJ), California Commission on Peace Officer Standards and Training (POST), City Controller, and other outside entities. External audits/inspections are generally completed by the Department. However, in some instances, the outside entity would arrive and physically conduct the audit/inspection, or conduct an audit/inspection remotely and later report the findings via a report to the Department. In the past, some external audits/inspections have been completed and transmitted back to the requesting outside entity without proper command-level review and approval. This Order establishes Department Manual Section 3/220.51, titled *External (Non-Department) Audits/Inspections*.

PROCEDURE: Area/division commanding officers and the Commanding Officer, Internal Audits and Inspections Division (IAID), shall have the following responsibilities when an external audit/inspection is requested to be completed by the Department:

I. AREA/DIVISION COMMANDING OFFICER'S RESPONSIBILITIES.

The Area/division commanding officers shall be responsible for the following:

- * Upon receiving a request for documents or notification by an outside entity (e.g., FBI, DOJ, POST, etc.) of their intent to conduct an audit/inspection, the commanding officer shall immediately forward a notification via Intradepartmental Correspondence, Form 15.02.00, through their designated chain-of-command, to the Commanding Officer, IAID;
- * When made aware by an outside entity that an audit/inspection was conducted remotely, via a correspondence/report, the commanding officer of the concerned Area/division shall immediately forward the correspondence/report, along with an Intradepartmental Correspondence, through their designated chain-of-command, to the Commanding Officer, IAID;

- * If an outside entity arrives unannounced to conduct an audit/inspection or advises any Department entity of its intention to conduct an audit, the commanding officer of the concerned Area/division shall immediately telephonically notify the Commanding Officer, IAID, and then forward a notification via Intradepartmental Correspondence, through their designated chain-of-command, to the Commanding Officer, IAID;
- * If an outside entity provides a final report upon completion of an audit, the commanding officer of the concerned Area/division shall immediately forward the final report to the Commanding Officer, IAID; and,
- * If an audit or source document cannot be completed or provided within the time frame specified by IAID, the commanding officer of the concerned Area/division shall immediately notify the Commanding Officer, IAID. The immediate notification may include a telephonic communication to the Commanding Officer, IAID.

Note: The concerned bureau chief **shall always** be included when routing an Intradepartmental Correspondence through the chain-of-command. Any communication between the Department and an outside entity shall be treated as official correspondence and requires the concerned bureau commanding officer's signature.

II. INTERNAL AUDITS AND INSPECTIONS DIVISION'S RESPONSIBILITIES. Internal Audits and Inspections Division shall be responsible for the following:

- * Submit each notification to the Special Assistant for Constitutional Policing for approval/denial and direction as to whether a Department entity should conduct an audit or gather source documents for the external request;
- * Evaluate and respond to any request from the Department to conduct an audit for an external source;
- * Monitor and track data sent to outside entities;
- * Maintain copies of all completed audits/inspections, pursuant to external requests; and,
- * Obtain a copy of the requesting outside entity's final report.

Note: The Commanding Officer, IAID, **shall** consult Risk Management Division when it is deemed that an audit may involve sensitive material.

April 6, 2010

A copy of an Intradepartmental Correspondence template is attached to this Order for reference.

AMENDMENT: This Order adds Section 3/220.51 to the Department Manual.

MONITORING RESPONSIBILITY: The Commanding Officer, Internal Audits and Inspections Division, shall have monitoring responsibility for this directive.

AUDIT RESPONSIBILITY: The Commanding Officer, Internal Audits and Inspections Division, shall review this directive and determine whether an audit or inspection shall be conducted in accordance with Department Manual Section 0/080.30.

A handwritten signature in black ink, appearing to be 'C. Beck', with a stylized, looping design.

CHARLIE BECK
Chief of Police

Attachment

DISTRIBUTION "D"

INTRADEPARTMENTAL CORRESPONDENCE

Spell Out Date Here (e.g., November 5, 2009)

Reference #

TO: Commanding Officer, Internal Audits and Inspections Division

FROM: Commanding Officer, (Enter your division/Area/bureau here)

SUBJECT: EXTERNAL REQUEST FOR AN AUDIT/INSPECTION

REQUESTING EXTERNAL ENTITY: List the external entity (e.g., Federal Bureau of Investigation, Controller's Office, etc.) and any applicable contact information for the external entity. *(Note: Attach a copy of the request if received in writing).*

TYPE OF AUDIT/INSPECTION REQUESTED: Provide a brief description of the audit/inspection requested. *(Note: If a prior audit/inspection has been completed in the past related to a similar request, attach a copy of the most recent audit/inspection).*

REASON WHY MY COMMAND SHOULD PERFORM THE AUDIT/INSPECTION:

Enter "Not Applicable" or provide an explanation (e.g., "It is requested that my command perform this inspection, as we have performed it multiple times in the past and I believe it would be more efficient for my command to perform the inspection.").

REASON WHY INTERNAL AUDITS AND INSPECTIONS DIVISION SHOULD PERFORM THE AUDIT/INSPECTION:

Enter "Not Applicable" or provide an explanation (e.g., "It is requested that Internal Audits and Inspections Division perform the inspection, as it is complex and takes more than three business days to complete or my command does not have the resources or my available resources do not have any auditing experience.").

If you have any questions regarding this request, please contact (Enter contact, including phone number information here).

* Include commanding officer's signature block here.

Attachment (if applicable).